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EXPRESS MAIL LABEL NO.: EK 327 849 425 US

PATENT APPLICATION  
Docket No.: 13768.156

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement.

Enclosed also are the following designated documents, as required under 37 C.F.R. §§ 1.97 and 1.98:

X Form PTO-1449 list of three (3) references submitted for consideration.

X Legible copies of the listed references or their relevant portions.

— All English translations of each nonenglish reference, if any, within the possession, custody, control or availability of anyone designated in 37 C.F.R. § 1.56(c) (see 37 C.F.R. § 1.98(c)).

The following are included within the Information Disclosure Statement if applicable and as required under 37 C.F.R. § 1.98:

— Concise explanation of relevance of each reference not in English and unaccompanied by an English translation.

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\_\_\_ Statement that certain listed references not enclosed are substantially cumulative of an enclosed reference.

\_\_\_ Statement that certain listed references not enclosed were previously cited by or submitted to the Office in the identified prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

In order to secure consideration of the items designated above, one or more of the following, if required, is also enclosed:

\_\_\_ Promptness Certification.

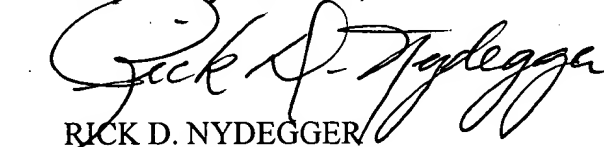
\_\_\_ Check No. \_\_\_\_\_ in the amount of \$240.00 constituting submission fee under 37 C.F.R. 1.17(p);

\_\_\_ Petition for Consideration and Check No. \_\_\_\_\_ in the amount of \$\_\_\_\_\_.

X In the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that the Promptness Certification meets the requirements of 37 C.F.R. § 1.97(e), or in any other event remediable by a fee, please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned.

Dated this 2 day of MAY, 2001.

Respectfully submitted,



RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



**022913**

PATENT TRADEMARK OFFICE

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EXPRESS MAIL LABEL NO.: EK 327 849425 US

PATENT APPLICATION

Docket No.: 13768.156

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Brian J. Deen, et al.

Serial No.: 09/761,374

Filed: January 16, 2001

Confirmation No.: 5333

For: SENDING NOTIFICATION THROUGH A  
FIREWALL OVER A COMPUTER NETWORK

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) Art Unit  
) 2131  
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INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of

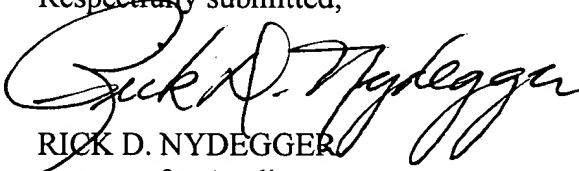
which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

Please credit any over payment or charge any additional fees to Deposit Account No. 3-3178 of the undersigned.

Dated this 2 day of MAY, 2001.

Respectfully submitted,

  
RICK D. NYDEGGER  
Attorney for Applicant  
Registration No. 28,651



**022913**

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## CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Brian J. Deen, et al.

Docket No.

13768.156

Serial No.

09/761,374

Filing Date

January 16, 2001

Confirmation No.

5333

Examiner

unknown

Group Art Unit

2131

Invention: SENDING NOTIFICATION THROUGH A FIREWALL OVER A COMPUTER NETWORK

I hereby certify that the Transmittal letter (2 pages) (in triplicate); Information Disclosure Statement (2 pgs); Form PTO-1449 (2 pgs); Legible Copies of Three (3) Cited References; and postcard are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: The Assistant Commissioner for Patents, Washington, DC 20231 on MAY 2, 2001.

JOLIN JOHNSON

(Typed or Printed Name of Person Mailing  
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(Signature of Person Mailing Correspondence)

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Form PTO-1449

Sheet 1 of 2

Applicant: Brian J. Deen, et al.

Serial No.: 09/761,374

Att'y Docket No.: 13768.156

Filing Date: January 16, 2001

Group: 2131

Confirmation No.: 5333

For: SENDING NOTIFICATION THROUGH A FIREALL OVER A  
COMPUTER NETWORK

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INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANTOther Documents

(including author (if listed), title, relevant pages, date of publication including at least month and year).

Examiner

Initial\*

- \_\_\_\_\_ A1. Cohen, J. and Aggarwal, S., "General Event Notification Architecture Base", July 9, 1998, pages 1-12, [www.ietf.org/proceedings/98dec/I-D/draft-cohen-gena-p-base-01.txt](http://www.ietf.org/proceedings/98dec/I-D/draft-cohen-gena-p-base-01.txt)
- \_\_\_\_\_ A2. Barnes, P, "Implementation of Observer Pattern", July 2000, pages 50, 52, 54, *C/C++ Users Journal*, [www.cuj.com](http://www.cuj.com)
- \_\_\_\_\_ A3. Subramaniam, K., Kothari, S., and Heller, D., "A Communication Library Using Active Messages to Improve Performance of PVM", 1996, pages 146-152, *Journal of Parallel and Distributed Computing Volume 39, Article 0162*

Examiner:

Date Considered:

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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Sheet 2 of 2

Applicant: Brian J. Deen, et al.

Serial No.: 09/761,374

Att'y Docket No.: 13768.156

Filing Date: January 16, 2001

Group: 2131

Confirmation No.: 5333

For: SENDING NOTIFICATION THROUGH A FIREALL OVER A  
COMPUTER NETWORK

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### References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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